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2812 42
PATENT 9-30-2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Honeywell Case No. A11-26110
(MBHB Case No. 00-696)

In application of:

Sullivan, et al.

Serial No.: 10/054,374

Filed: January 22, 2002

**For: HIGH DENSITY 3-D INTEGRATED
CIRCUIT PACKAGE**

Commissioner for Patents
Washington, D.C. 20231

Sir:

Examiner: TBA

Group Art Unit: TBA

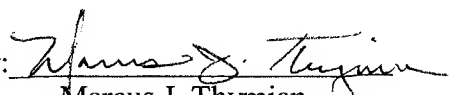
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TRANSMITTAL LETTER

In regard to the above identified application:

1. We are transmitting herewith the attached papers for the above identified new patent application:
 - ☒ Information Disclosure Statement;
 - ☒ Information Disclosure Statement (IDS) PTO-1449 Form;
 - ☒ Copies of IDS Citations for S/N 10/054,374 (15 U.S. Patents, and 1 Reference);
 - and
 - ☒ Return Receipt Postcard.
2. With respect to additional fees:
 - ☒ No additional fee is required.
3. GENERAL AUTHORIZATION: Please charge any additional fees or credit overpayment to Deposit Account No. 13-2490. A duplicate copy of this sheet is enclosed.
4. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on April 12, 2002.

Date: April 12, 2002

By: 
Marcus J. Thymian
Reg. No. 43,954

McDonnell Boehnen Hulbert & Berghoff
300 South Wacker Drive, Fl. 32
Chicago, IL 60606
Telephone: (312) 913-0001

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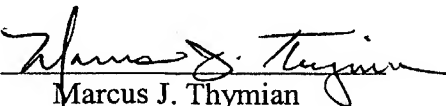
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| | | |
|---|--|---------------------------------|
| Form PTO-1449 U.S. Department of Commerce Patent and Trademark Office INFORMATION DISCLOSURE STATEMENT BY APPLICANT | Atty. Docket No. A11-26110 COPY OF PAPERS ORIGINALLY FILED | Serial No. 10/054,374 |
|  | Applicant: Sullivan, et al. | |
| | Filing Date: January 22, 2002 | Group: TBA |

U.S. PATENT DOCUMENTS

| Examiner Initial | No. | Document Number | Date | Name | Class | Subclass | Filing Date |
|------------------|-----|-----------------|----------|-------------------|-------|----------|-------------|
| | 1. | 4,646,128 | 02/24/87 | Carson et al. | 357 | 74 | 04/08/85 |
| | 2. | 4,704,319 | 11/03/87 | Belanger et al. | 428 | 209 | 03/21/86 |
| | 3. | 4,764,846 | 08/16/88 | Go | 361 | 388 | 01/05/87 |
| | 4. | 4,983,533 | 01/08/91 | Go | 437 | 7 | 10/28/87 |
| | 5. | 5,172,303 | 12/15/92 | Bernardoni et al. | 361 | 396 | 11/23/90 |
| | 6. | 5,222,014 | 06/22/93 | Lin | 361 | 414 | 03/02/92 |
| | 7. | 5,581,498 | 12/03/96 | Ludwig et al. | 365 | 63 | 10/20/94 |
| | 8. | 5,688,721 | 11/18/97 | Johnson | 437 | 203 | 03/26/96 |
| | 9. | 5,701,233 | 12/23/97 | Carson et al. | 361 | 735 | 01/23/95 |
| | 10. | 5,838,060 | 11/17/98 | Comer | 257 | 685 | 12/12/95 |
| | 11. | 5,998,864 | 12/07/99 | Khandros et al. | 257 | 723 | 05/27/97 |
| | 12. | 6,014,316 | 01/11/00 | Eide | 361 | 735 | 06/10/98 |
| | 13. | 6,028,352 | 02/22/00 | Eide | 257 | 686 | 06/10/98 |
| | 14. | 6,072,234 | 06/06/00 | Camien et al. | 257 | 686 | 05/21/99 |
| | 15. | 6,117,704 | 09/12/00 | Yamaguchi et al. | 438 | 100 | 03/31/99 |

OTHER DOCUMENTS - Including Author, Title, Date, Pertinent Pages, Etc.

| Examiner Initial | No. | |
|------------------|-----|--|
| | 16. | Gann, Keith D. "Neo-Stacking Technology" <i>HDI Magazine</i> December 1999 |

| Examiner | Date Considered |
|----------|-----------------|
| | |

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if it is not in conformance and not considered. Include copy of this form with any communication.

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INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. Section 1.97 - 1.99, the Applicant wishes to make the following references of record in the above-identified application. This Information Disclosure Statement is in compliance with the continuing duty of candor as set forth in 37 C.F.R. Section 1.56. Copies of the references cited below are enclosed. These references are also listed on the enclosed PTO Form 1449.

In the judgment of the undersigned, portions of the listed references may be material to the Examiner's consideration of the presently pending claims. However, the references have not been reviewed in sufficient detail to make any other representation and, in particular, no representation is intended as to the relative relevance between references, whether cited in this or prior statements. This statement is not a representation that the listed references have effective dates early enough to be "prior art" within the meaning of 35 U.S.C. Section 102 or Section 103.

I. United States Patents

1. Carson et al., United States Patent No. 4,646,128, Issued February 24, 1987
2. Belanger et al., United States Patent No. 4,704,319, Issued November 3, 1987
3. Go, United States Patent No. 4,764,846, Issued August 16, 1988
4. Go, United States Patent No. 4,983,533, Issued January 8, 1991
5. Bernardoni et al., United States Patent No. 5,172,303, Issued, December 15, 1992
6. Lin, United States Patent No. 5,222,014, Issued June 22, 1993
7. Ludwig et al., United States Patent No. 5,581,498, Issued December 3, 1996
8. Johnson, United States Patent No. 5,688,721, Issued November 18, 1997
9. Carson et al., United States Patent No. 5,701,233, Issued December 23, 1997
10. Comer, United States Patent No. 5,838,060, Issued November 17, 1998
11. Khandros et al., United States Patent No. 5,998,864, Issued December 7, 1999
12. Eide, United States Patent No. 6,014,316, Issued January 11, 2000
13. Eide, United States Patent No. 6,028,352, Issued February 22, 2000
14. Camien et al., United States Patent No. 6,072,234, Issued June 6, 2000
15. Yamaguchi et al., United States Patent No. 6,117,704, Issued September 12, 2000

II. Other Documents

16. Gann, Keith D. "Neo-Stacking Technology" *HDI Magazine* December 1999

This Information Disclosure Statement is being filed:

- ☒ within three months of the filing date of a national application; within three months of the date of entry into the national stage as set forth in 37 C.F.R. § 1.491 in an international application; or before the mailing date of a first Office Action on the merits. 37 C.F.R. §1.97 (b)
- ☐ **after** three months of the filing date of a national application, or the date of entry into the national stage as set forth in 37 C.F.R. § 1.491 in an international application; or **after** the mailing date of a first Office Action on the merits, but **before** the mailing date of a Final

Action under 37 C.F.R. § 1.113 or a Notice of Allowance under 37 C.F.R. § 1.311 (whichever occurs first), and includes (37 C.F.R. § 1.97 (c):

☐ the Certification under 37 C.F.R. § 1.97(e) (see "Certification" below)

OR

☐ the fee of \$240 set forth in 37 C.F.R. § 1.17(p) (see "Fees" below).

☐ **after** a Final Action under 37 C.F.R. § 1.113 or a Notice of Allowance under 37 C.F.R. § 1.311 (whichever occurs first), but before, or simultaneously with, the payment of the issue fee, and includes the Certification under 37 C.F.R. § 1.97(e) (see "Certification" below), and the Petition Fee set forth in 37 C.F.R. § 1.17(i) (see "Fees" and "Method of Payment of Fees" below). Applicants hereby petitions for consideration of the Information Disclosure Statement submitted herewith and the accompanying references in examination of the subject patent application.

CERTIFICATION

☐ The **undersigned** hereby certifies that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.

☐ The **undersigned** hereby certifies that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

FEES

☒ **No fee** is owed by the applicant(s).

☐ The **IDS Fee of \$240.00** under 37 C.F.R. § 1.17(p) is enclosed herewith.

METHOD OF PAYMENT OF FEES

☐ Attached is a check in the amount of \$.

☐ Charge Deposit Account No. 13-2490 in the amount of \$. (A duplicate copy of this communication is enclosed for that purpose.)

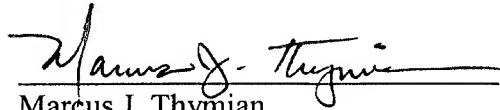
Please charge any underpayment or credit any overpayment in connection with this communication to Deposit Account No. 13-2490. A duplicate copy of this communication is enclosed for this purpose.

CERTIFICATE OF MAILING UNDER 37 CFR § 1.8:

I hereby certify that this correspondence and all attached paper(s) or fee(s) is being deposited with sufficient postage as First Class Mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on April 12, 2002.

Respectfully submitted,

Date: April 12, 2002



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